

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. PNUF-01219

Only for new nonprovisional applications under 37 CFR 1.53(b))

To the Assistant Commissioner of Patents

Transmitted herewith for filing is the patent application of:

Inventors: **Toshiyuki KAMBE**

Corresponding to Japanese application Nos. 2000-391385 and 2001-081183 filed on 22 December 2000 and 21 March 2001, respectively

Title: **WAVEGUIDE-TYPE OPTICAL CONTROL DEVICE AND PROCESS FOR PRODUCING THE SAME**

Enclosed are:

☒ 63 Pages of Specification containing 35 claims

☒ 29 Sheets of formal Drawings ☒ Abstract of the Disclosure

☐ Submission of English translation of prior provisional application under 37 CRR 1.78(a)(5)

☒ Newly executed Oath or Declaration/Power of Attorney

☐ Copy of Oath or Declaration/Power of Attorney from a prior application (continuation/divisional)

☐ The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied as indicated in the preceding box, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

☐ Deletion of inventor(s). A signed statement attached deleting inventor(s) named in the prior application (see 37 CFR 1.63 (d)(2) and 1.33(b))

☐ Applicant claims small entity status under 37 C.F.R. § 1.27

☒ Application Data Sheet under 37 C.F.R. § 1.76

☒ Assignment Papers (cover sheet & document(s))

☐ Information Disclosure Statement (IDS) w/PTO-1449 - ☐ Copy of IDS citations

☒ Preliminary Amendment

☒ Itemized Return Receipt Postcard

☒ Certified Copy of Priority Document(s)

☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or ii. ☐ paper

c. ☐ Statement verifying identity of above copies

☐ Other Attachment: _____

12/26/01

12/26/01

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UTILITY PATENT APPLICATION TRANSMITTAL

(continued)

Attorney Docket No. PNUF-01210

If a CONTINUING APPLICATION, check appropriate box, and supply requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part of Prior Appln. #

Prior Application Information:

Examiner:

Tech Center:

CORRESPONDENCE INFORMATION**Customer Number:****000466****Bar Code Label:**

Correspondence Address:

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The filing fee has been calculated as follows:

FOR	NUMBER FILED	NUMBER EXTRA	SMALL ENTITY		LARGE ENTITY	
			RATE	FEE	RATE	FEE
BASIC FEE				\$370.00		\$740.00
TOTAL CLAIMS	<u>35</u> - 20 =	<u>15</u>	\$9.00	\$	\$18.00	\$270
INDEPENDENT CLAIMS	<u>11</u> - 3 =	<u>8</u>	\$42.00	\$	\$84.00	\$672
MULTIPLE DEPENDENT CLAIM FEE			\$140.00	\$	\$280.00	\$
TOTAL SMALL ENTITY				\$		
			TOTAL LARGE ENTITY			\$1682

- ☒ A Check in the amount of \$1722 to cover all fees is attached.
- ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to Deposit account No. 25-0120 in the name of Young & Thompson, as described below. A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 25-0120 for any additional fee required under 37 C.F.R. §§ 1.16 or 1.17.



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TWP/srs

Date: 26 December 2001